 <b>J1132</b> <b>U</b> <b>PTO</b>	<p><b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <b>(Large Entity)</b></p> <p><i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i></p>	<p style="margin: 0;">Docket No.</p> <p style="margin: 0;"><b>NEC01P205-H1a</b></p>
		<b>Total Pages in this Submission</b> <b>69</b>
<p><b>TO THE ASSISTANT COMMISSIONER FOR PATENTS</b></p> <p>Box Patent Application  Washington, D.C. 20231</p>		
<p>Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:</p> <p><b>ARRAYED WAVEGUIDE GRADING WITH OPTICAL INPUT AND OUTPUT CHARACTERISTICS SETTABLE TO DESIRED VALUES</b></p>		
<p>and invented by:</p> <p><b>Tarou Kaneko</b></p>		
<p><i>If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:</i></p> <p><input type="checkbox"/> Continuation   <input type="checkbox"/> Divisional   <input type="checkbox"/> Continuation-in-part (CIP)   of prior application No.: _____</p> <p>Which is a:</p> <p><input type="checkbox"/> Continuation   <input type="checkbox"/> Divisional   <input type="checkbox"/> Continuation-in-part (CIP)   of prior application No.: _____</p> <p>Which is a:</p> <p><input type="checkbox"/> Continuation   <input type="checkbox"/> Divisional   <input type="checkbox"/> Continuation-in-part (CIP)   of prior application No.: _____</p>		
<p><input type="checkbox"/> Enclosed are:</p> <p style="text-align: center;"><b>Application Elements</b></p> <p>1. <input checked="" type="checkbox"/> Filing fee as calculated and transmitted as described below</p> <p>2. <input checked="" type="checkbox"/> Specification having <u>150</u> pages and including the following:</p> <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Descriptive Title of the Invention</li> <li>b. <input type="checkbox"/> Cross References to Related Applications (<i>if applicable</i>)</li> <li>c. <input type="checkbox"/> Statement Regarding Federally-sponsored Research/Development (<i>if applicable</i>)</li> <li>d. <input type="checkbox"/> Reference to Microfiche Appendix (<i>if applicable</i>)</li> <li>e. <input checked="" type="checkbox"/> Background of the Invention</li> <li>f. <input checked="" type="checkbox"/> Brief Summary of the Invention</li> <li>g. <input checked="" type="checkbox"/> Brief Description of the Drawings (<i>if drawings filed</i>)</li> <li>h. <input checked="" type="checkbox"/> Detailed Description</li> <li>i. <input checked="" type="checkbox"/> Claim(s) as Classified Below</li> <li>j. <input checked="" type="checkbox"/> Abstract of the Disclosure</li> </ul>		

UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
NEC01P205-HIa

Total Pages in this Submission

Application Elements (Continued)

3.  Drawing(s) (when necessary as prescribed by 35 USC 113)  
a.  Formal Number of Sheets 12 (Figs. 1-24)  
b.  Informal Number of Sheets \_\_\_\_\_

4.  Oath or Declaration  
a.  Newly executed (original or copy)  Unexecuted  
b.  Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)  
c.  With Power of Attorney  Without Power of Attorney  
d.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5.  Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied  
under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

6.  Computer Program in Microfiche (Appendix)

7.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)  
a.  Paper Copy  
b.  Computer Readable Copy (identical to computer copy)  
c.  Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8.  Assignment Papers (cover sheet & document(s))

9.  37 CFR 3.73(B) Statement (when there is an assignee)

10.  English Translation Document (if applicable)

11.  Information Disclosure Statement/PTO-1449  Copies of IDS Citations

12.  Preliminary Amendment

13.  Acknowledgment postcard

14.  Certificate of Mailing

First Class  Express Mail (Specify Label No.): \_\_\_\_\_

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
NEC01P205-H1a

Total Pages in this Submission

**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16.  Additional Enclosures *(please identify below):*

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

17.  Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
NEC01P205-HIa

Total Pages in this Submission

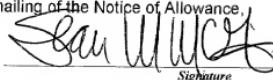
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	48	- 20 =	28	x \$18.00	\$504.00
Indep. Claims	48	- 3 =	45	x \$84.00	\$3,780.00
Multiple Dependent Claims (check if applicable)	<input type="checkbox"/>				\$0.00
				BASIC FEE	\$740.00
OTHER FEE (specify purpose)					\$0.00
				TOTAL FILING FEE	\$5,024.00

A check in the amount of \$5,024.00 to cover the filing fee is enclosed.  
 The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0481 as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \_\_\_\_\_ as filing fee.  
 Credit any overpayment.  
 Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.  
 Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).



Signature

Sean M. McGinn, Esq.

Dated: November 14, 2001

CC: